

Serial No. 09/682,604

Docket No. RD-27,364

0427 3600 #2500
01/31/02
3635

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John E. Herhsey

: Group Art Unit:

Serial No.: 09/682,604

: Examiner:

Filed: 9/26/01

For: METHOD AND APPARATUS FOR
SECURING FINANCING IN A LOAN
TRANSACTION



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GROUP 3600

INFORMATION
DISCLOSURE STATEMENT

☒ 1 PTO-1449 Pursuant to 37 CFR 1.97 (b)

[within 3 months of filing or prior to 1st Office Action] N/C

☐ 2 Statement Pursuant to 37 CFR 1.97(c)

[before Final Office Action or Allowance] N/C

☐ 3 Fee Payment Pursuant to 37 CFR 1.97(c)

[before Final Office Action or Allowance] \$240.00

☐ 4 Petition, Statement & Petition Fee Payment Pursuant to 37 CFR 1.97(d)

[before issue fee payment] \$130.00

Honorable Commissioner of Patents

Washington, DC 20231

S I R:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 and 1.98:

☒ 5 A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

☒ 6 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]

☐ 7 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier];
and

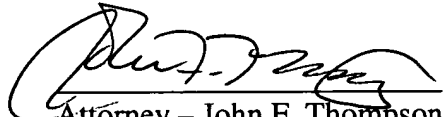
☐ 8 The required Statement made in item 11 below; or

☐ 9 The \$240.00 fee specified in 37 CFR §1.17(p) for submission of this
information Disclosure Statement is authorized in item 14 below.

- ☐ 10 37 CFR 1.97(d): [before issue fee payment]; and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR §1.17(i) is authorized in item 14 below; and
- b) The required Statement is stated in item 11 below.
- ☐ 11 Statement under 37 CFR §1.97(e)
- ☐ 12 Each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ 13 No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to this knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☒ 14 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 07-0868. An original and two (2) copies of this document are enclosed.

Respectfully submitted,

September 25, 2001
Date


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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on
Date of Deposit
Type or Print Name
Signature

FORM PTO-1449
(REV. 7-80)US. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
RD-27,364SERIAL NO.
09/682,604

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant
John E. HersheyFiling Date
9/26/01

Group

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA 6,233,566	05/15/01	Levine et al.			
	AB 6,148,293	11/14/00	King			
	AC 5,797,133	08/18/98	Jones et al.			
	AD					
	AE					

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AF					
	AG					
	AH					
	AI					
	AJ					

OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

	AK	
	AL	
	AM	
	AN	
	AO	
	AP	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant